

Arizona Department of Economic Security

Division of Developmental Disabilities (DDD Acute Care and Long Term Care)

Comprehensive Medical and Dental Program (CMDP)

Refugee Medical Assistance Program (RMAP)

HIPAA TCS
Trading Partner Manual

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Disclaimer: This document and its attachments are intended to be technical documents describing the specific technical and procedural requirements for interfaces between DES and its trading partners. It does not supersede contracts between an entity and DES, or specific procedure manuals for various operational processes.

Substantial effort has been taken to minimize conflicts or errors: however, DES or its employees will not be liable or responsible for any errors or expense resulting from the use of the information in this document. If you believe there is an error in the document, please notify DES at DESHIPAATCS@azdes.gov immediately.

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1.0 Overview and Intended Use of this Manual

The purpose of this document is to define the requirements and processes for DES Trading Partners to electronically submit and receive HIPAA compliant transactions. It is intended for use by any provider, third party processor, billing service or health plan that intends to trade electronic data with one or more of the DES plans.

This manual includes the following sections and information.

Overview and Intended Use of this Manual

The Trading Partner Manual is intended to provide any qualified entity that wishes to trade electronic HIPAA transactions with the appropriate information and necessary requirements to do so as outlined below.

Trading Partner Registration

Includes the sign up procedures and the required registration and agreement forms to be completed and signed by a prospective trading partner.

File Exchange

Includes the process to obtain connectivity and procedures to upload/download files.

Testing Process and Requirements

Includes the testing strategy/approach, test scenarios and test cases to be utilized during the testing phase.

File and Transaction Requirements

Includes information, guidance, and/or requirements regarding items such as:

- File Naming
- File Size Limits

Transaction Processing and Acknowledgements

Includes transaction submission requirements such as the transmission schedules and frequency, and expected electronic messages and notifications.

Technical Assistance and Help

Includes instructions and contact information regarding technical support and problem resolution.

Attachments - Companion Transaction Specifications

Includes the transaction file specifications and the transaction envelope (header and trailer) specification requirements by transaction type as listed below. Each transaction type will also be split out into the specific plan (CMDP, RMAP, DDD Acute Care, or DDD Long Term Care) requirements. Each is considered an attachment to this document.

Each transaction specification for the transaction(s) should be downloaded from WWW.DES.azdes.gov/HIPAA separately, as needed or applicable, in order to customize your manual.

<i>Attachment A</i>	Transaction Envelope Specifications
<i>Attachment B</i>	270/271 Companion Specifications
<i>Attachment C</i>	276/277 Companion Specifications
<i>Attachment D</i>	278 Companion Specifications
<i>Attachment E</i>	837I Companion Specifications
<i>Attachment F</i>	837P Companion Specifications
<i>Attachment G</i>	837D Companion Specifications
<i>Attachment H</i>	835 Companion Specifications
<i>Attachment I</i>	834 Companion Specifications
<i>Attachment J</i>	820 Companion Specifications

This manual, including the Companion Transaction Specifications, supplement the HIPAA Implementation Guides. It provides interchange conventions, as well as the values required for transactions sent to or received from DES.

Companion documentation is intended to supplement rather than to replace the standard HIPAA Implementation Guide for each transaction set. Information in these documents is not intended to:

- Modify the definition, data condition, or use of any data element or segment in the standard Implementation Guides
- Add any data elements or segments to the defined data set;
- Utilize any code or data values that are not valid in the standard Implementation Guides
- Change the meaning or intent of any implementation specifications in the standard Implementation Guides.

2.0 Trading Partner Registration

The On-Line Registration is not available at this time. Look for it in April 2004. In addition, in April 2004, look for an update to this manual which will include procedures for the on-line registration process.

Before a Provider or Vendor can submit test files, DES requires the completion of a registration process. The registration process is important because it provides specific information to DES regarding the Provider's or Vendor's plans regarding trading with DES' plans.

2.1 Trading Partner Registration Process

Registration is completed on the Internet at www.de.state.az.us/ddd/DDDVendorDirectory.asp. Upon submission of the registration information, the submitter will be assigned a Trading Partner Identification Number, or TPIN.

Upon receipt of the registration application, DES will review and verify the registration information submitted. Once verified, DES will create the trading partner account in the Quality Assurance technical environment. Once the account is completed, the submitter will be notified, at the Email address supplied through registration, that testing can begin.

As part of the registration process, submitters will be required to provide specific information. **Figure 2-1** provides a form representation of the information requested as part of the registration process. **Figure 2-1** can be used to prepare for completion of the registration process.

Registration will require specifying the DES plan(s) with which the submitter expects to trade, as well as which transactions the submitter expects to trade. At any time following initial registration, a Trading Partner may update the registration to add or change the plan(s) with which the Trading Partner will be trading, as well as the specific transactions that the Trading Partner expects to trade. If the Trading Partner intends to add transactions or a DES plan, the Trading Partner must access www.de.state.az.us/ddd/DDDVendorDirectory.asp and update the registration information. This is necessary for DES to complete the account updates that are required to enable trading with the new plan(s) or the new transaction(s). The submitter will be notified, at the Email address supplied through registration, when the account updates are complete and testing may begin.

Figure 2-1**Trading Partner Registration Questionnaire**

Provider/Vendor Name: _____
 Provider AZ AHCCCS ID Number (If Applicable): _____
 Provider Federal Tax ID: _____
 Provider/Vendor Street Address: _____
 Provider/Vendor City, State, Zip code: _____
 Provider/Vendor Telephone: _____ Fax: _____
 Contact Person's Name: _____
 Contact Person's Telephone: _____ E-mail: _____

Provider/Vendor named above is a:

- ☐ Provider
☐ Clearinghouse

The DES plans with which your organization intends to trade electronic data (Check all that apply):

- ☐ Comprehensive Medical and Dental Program (CMDP)
☐ Division of Aging and Community Services/Refugee Medical Assistance Program (RMAP)
☐ Division of Developmental Disabilities (DDD) Acute Care
☐ Division of Developmental Disabilities (DDD) Long Term Care

The HIPAA compliant EDI transaction formats your organization intends to trade. (On-line, you will be asked to check all that apply for each DES plan with which you expect to trade).

- ☐ 270/271 Health Care Eligibility Benefit Inquiry and Response
☐ 276/277 Health Care Claim Status Inquiry and Response
☐ 278 Health Care Services Review Request and Response
☐ 837 Health Care Claims (Estimated monthly volume)
 ☐ Institutional Average: _____ Maximum: _____
 ☐ Professional Average: _____ Maximum: _____
 ☐ Dental Average: _____ Maximum: _____
☐ 837 Health Care Encounters
☐ 835 Health Care Claim Payment/Advice

If your organization intends to submit electronic data as a representative for multiple Provider(s), please provide the following information for each provider for whom your organization will be submitting data:

Provider Name	Provider AZ AHCCCS ID Number	Provider Federal Tax ID

Electronic Data Trading Agreement Form

The on-line registration process will provide instructions regarding the completion and delivery of the completed Electronic Data Trading Agreement form. The process will also prompt the printing of the form with the TPIN pre-filled on the document.

Completion of successful testing is a prerequisite for trading a specific transaction in production. Receipt by DES of the completed and signed Electronic Data Trading Agreement Form is required to trade any transactions in production.

This Agreement authorizes DES to accept data electronically. The Agreement also holds the Trading Partner responsible for submitting this data in accordance with applicable laws, rules, and regulations.

2.2 Trading Partner Registration Procedures

Under Construction

3.0 File Exchange

The On-Line File Exchange is not available at this time. Look for it in April 2004. In addition, in April 2004, look for an update to this manual which will include procedures for the on-line file exchange process.

Registered Trading Partners will be able to upload and download X12 format HIPAA compliant transactions and acknowledgments to and from DES through the Internet at www.de.state.az.us/ddd/DDDVendorDirectory.asp. With the exception of Internet browser software, no additional software is required.

After logging on, registered Trading Partners will be able to access the upload and download functions by clicking the Transfer Files button. Upload and download functions will be specific to the QA/Test or the Production environments and will be enabled only for the specific transactions approved for the specific environment. The file transfer utilizes SSL 128 bit encryption to provide secure transmission of HIPAA transaction files.

3.1 File Exchange Process Overview

The upload process will allow you to upload one or more files at a time. Selection of the file(s) utilizes a standard browse folders function. The upload process will stop you from uploading a file with a filename that matches a previously uploaded file. To upload the new file, you should confirm that it is not, in fact, a duplicate and change the file name prior to attempting to upload again. Keep in mind the files must meet the filename convention specified in **Section 5**.

You will also be able to view files uploaded by your organization during the last 30 days and the status of each. The status will indicate whether the file is awaiting DES processing, is in an error state or has been processed. It is anticipated that files will be picked up for processing very shortly after arrival on the DES server.

The download function allows you to view only files transmitted by DES for pickup by your organization. You will be able to view all files transmitted by DES for pickup by your organization during the last 30 days. In addition, the status of each will be viewable. The status will indicate whether the file has been downloaded or is awaiting download. You will be able to select files from the available list and download the files.

3.2 File Types Available for Download

DES will transmit HIPAA compliant X12 transactions (e.g., 271, 277, 278, and 835) and 997 acknowledgments for download by registered Trading Partners. In addition, error reports may be transmitted in the event that the file does not meet edits required prior to processing by the DES HIPAA translator.

Errors reports will indicate circumstances, such as:

- The file name does not meet the specified convention, and
- The TPIN in the file name does not match that in the transaction envelope.

DES will not process any file with one or more of these errors. The file must be corrected and uploaded again for any transaction within it to be processed.

Additional reports or supplemental files may also be transmitted to registered Trading Partners by DES through this channel.

3.3 Procedures for Upload

Under Construction

3.4 Procedures for Download

Under Construction

4.0 Testing Process and Requirements

The purpose of this test plan is to define the testing approach, process and the specific requirements that must be satisfied before DES will begin to accept electronic transaction submissions from a Trading Partner in production.

Third party certification is strongly recommended for any organization submitting HIPAA compliant transactions directly to DES. During testing with DES, DES reserves the right to submit test files submitted to DES to a third-party certification vendor and provide the test results received from the third-party vendor to the submitter.

The testing processes and requirements for the DES Acute Care Plans and DDD Long Term Care are presented separately as the procedures and requirements differ.

4.1 DES Acute Care Plan's Test Process and Requirements

Registration with DES to trade electronic data is required to begin testing any transactions. As defined in **Section 2**, registration is complete when a notification has been received from DES confirming registration and readiness to test. The testing process is initiated upon submission of test files, following the instructions provided in **Section 3**.

After submitting a test file to DES for processing, the Trading Partner should expect at a minimum to see the 997 Acknowledgment transaction and the Test Results Communication Record listing the pass/fail criteria test results. The 997 transaction confirms that the submitted transaction has passed or failed a basic syntax validation only. Additionally, each submitted transaction will be verified for correct sequence, format, and data content requirements as outlined in the applicable transaction Implementation Guide and DES Companion Transaction Specification. The 997 acknowledgement should be available within a few hours of transmission of a test file from the Trading Partner. The Test Results Communication Record will be available as many as 1 to 3 days following receipt of the test file, depending on the time and day of the week the test file(s) is received. In addition to processing the test files submitted by registered Trading Partners, DES may submit test files to a third-party certification vendor for validation. DES may provide the results record from the third-party vendor along with the 997 and Test Results Communication Record.

Successful completion of all the transaction requirements should result in a response transaction returned to the Trading Partner. The following list identifies the appropriate response transaction for successful processing of the submitted transaction:

Transaction submitted by Trading Partner to DES	Response transaction from DES to Trading Partner
270 Inquiry	271 Response
276 Inquiry	277 Response
278 Request	278 Response
837 D, I, P Claim	835 Remittance Advice

The Test Results Communication Record will be returned to the Trading Partner via Email to the contact address provided by the Trading Partner as part of the registration, as well as made available for download for each submitted transaction. If a failure has been noted for any processing category, or overall, the Test Results Communication Record should provide a detailed explanation of the error(s).

An example of the Test Results Communication Record format is presented below.

837 Claim Test Results

Processing Category	Pass	Fail	Comments
Trading Partner authenticated			
Member Found			
Provider(s) Found			
Claim Header Information			
Claim Services			
Overall			

Conversely, when the DES response transaction is returned to the Trading Partner, DES should also expect to receive a 997 Acknowledgment transaction returned. DES also expects that any problems encountered during the Trading Partner processing of the transaction be reported back via Email to DESHIPAAATCS@azdes.gov. DES will compile and track these issues and responses in the Reported Issues Report. This report will be made available via Email or can be downloaded from the DES web site at: <http://www.de.state.az.us/hipaa>.

The Reported Issues Report will be in the following format:

Transaction Type	Issue #	Identified By	Problem Description	Resolution	Date Resolved

DES will provide notification to the identified contact when testing for each transaction has been completed successfully. The notification will indicate when submission of the specific transaction for production processing can begin.

Exchange Requirements

The DES Acute Care Plans require multiple successful exchanges for testing of each transaction type. The following table summarizes the exchange requirements that must be met for each transaction type being submitted.

Transaction	Number of Exchanges	Exchange Requirements	Required Scenarios
270/271 Eligibility Inquiry and Response	Minimum of 2		
276 /277 Claims Status Inquiry and response	Minimum of 2		
278 Service Review Request and Response	Minimum of 3	Minimum of 3 requests per exchange	At least 1 request for: - Modification of service authorization units/days - Termination of a service authorization
837 Professional – Claims	Minimum of 3	Minimum of 5 claims Maximum of 50 claims per exchange. Testing of files with greater than 50 claims should be coordinated in advance	At least 5 claims each of the following: - Adjustments - Voids - COB (See explanation below)
837 Dental – Claims	Minimum of 3	Minimum of 5 claims Maximum of 50 claims per exchange. Testing of files with greater than 50 claims should be coordinated in advance	At least 5 claims each of the following: - Adjustments - Voids - COB (See explanation below)
837 Institutional – Claims	Minimum of 3	Minimum of 5 claims Maximum of 50 claims per exchange. Testing of files with greater than 50 claims should be coordinated in advance	At least 5 claims each of the following: - Adjustments - Voids - COB (See explanation below)
835 Remittance Advice – Claims	Minimum of 2	In conjunction with testing of 837 claim submissions	

837 Claims Test Interchange Volume

Each successful transmission must contain at least 5, but no more than 50 claims. If the Trading Partner anticipates production file volumes in excess of 100 claims, a test of one or more files containing production level volumes of claims should be coordinated. Contact DES via Email at DESHIPAAATCS@azdes.gov to coordinate such a test.

Required 837 Claims Scenarios

DES requires successful testing of certain scenarios for approval to submit transactions to production. At least five (5) claims of the following types must be received and successfully processed:

- Adjustments (of previously submitted claims)

- Voids (of previously submitted claims)
- Coordination of Benefits (COB)

If you will not be submitting adjustment or void claims or claims with COB as part of your normal business practices, please notify DES at DESHIPAAATCS@azdes.gov. You may be exempted from the testing requirement.

If the Trading Partner will be submitting transactions in production for multiple providers, at least one (1) transmission with multiple providers must be successfully received and processed.

For required scenarios for all other transaction types refer to the table above.

Test Case Data

DES believes that, whenever possible, using real-life production data enhances the overall value of the compliance testing process. If for any reason, test files are submitted in a non-secure method, member related data must be test data.

DES will notify your identified contact if the secure transmission method and procedures provided in **Section 3** is not available for testing. If an alternative secure transmission method is not available, DES will provide test data to be used for patient and provider identifying information.

Please notify DES at DESHIPAAATCS@azdes.gov if you are otherwise unable to submit test files in a secure method.

DES will insure that patient identifying information will be eliminated from any files submitted to the certification testing system.

File Name Formats

Test files must be submitted and named according to the specifications detailed in **Section 5**. The file name must contain nine sections. Sections one through seven must be separated by an underscore () delimiter. Following are some examples of file names:

DA_100001_T_837P_C_011404.001.txt
DA_100001_P_270_M_011404.001.txt

In the portion before the transaction identification number, the "P" identifies a production file and a "T" identifies a test file.

4.2 DDD Long Term Care Testing Requirements and Process

Under Construction

4.3 Post Production Testing

Should a Trading Partner have the need to test any transaction type, after having been approved for and begun submitting the transaction type to production, the Trading Partner is required to notify DES of the need and coordinate testing scenarios. Notification should be made to DES

via Email at DESHIPAAATCS@azdes.gov. Notification should include a brief explanation of the need to test, a brief description of the testing need, including specific scenarios and member and provider to be included in the test file(s) so that the member and provider set-up can be set-up in the DES test region. DES may make follow-up inquiries to the Trading Partner to confirm the scenarios and test data.

Without notifying DES, the Trading Partner will not have the ability on the web interface to upload files to DES' Test region. Following notification, DES will enable the facility. The Trading Partner should follow the instructions to upload test files as detailed in **Section 3** of this manual.

5.0 General File and Transaction Requirements

DES will support all approved HIPAA transaction standards (ASC X12N version 4010A1) as applicable to the specific DES plan with which transactions are traded. Files can be transmitted for DES processing using the procedures detailed in **Section 3**, 24 hours a day, 7 days a week. Third party certification is strongly recommended for any organization submitting HIPAA compliant transactions directly to DES.

Together with the envelope specifications and transaction specific companion specifications, these file and transaction requirements are intended to provide all of the specifications needed to construct and produce HIPAA compliant transactions that can be shared with the DES plans. Certain general transaction and file requirements are applicable to all four DES plans. Certain requirements are applicable to the three DES Acute Care plans.

The DES Acute Care Plans include the Comprehensive Medical and Dental Program (CMDP), the Refugee Medical Assistance Program (RMAP), and DDD Acute Care. The remaining program is the DDD Long Term Care program. Keep in mind, the transaction companion specifications differ for each of the four plans. You must follow the envelope and transaction companion specifications specific to the plans with which you expect to trade. Interchange Sender IDs (ISA06) and Interchange Receiver IDs (ISA07) are specific to the plan. You will be required to have a specific Sender and Receiver ID for each DES plan with which you trade.

Certain requirements are presented specific to DES Acute Care Plans versus the DDD Long Term Care program, as the general requirements may differ.

5.1 File Naming

The file name will contain nine sections. Sections one through seven will be separated by an underscore () delimiter. The sections are described below:

Section	Description
1	Plan code: DA – DDD Acute Care DL – DDD Long Term Care CM – CMDP RM – RMAP
2	Trading Partner Identification Number (TPIN) – An auto-generated number assigned to the Trading Partner by DES upon registration.
3	Environment Identifier: P – Production T – Test
3-4	Three (3) to Four (4) digit code for transaction type: 270, 276, 837P, I or D, NCPD – transaction type
5	One (1) digit code for file type: M – Miscellaneous (applicable to 270, 276, 278 transactions) C – Claim E – Encounter D – Deleted
6	Date file produced – MMDDYY format

7	Sequence number to handle multiple files generated on the same date
8	Period for file extension
9	Ending extension of file will be 'txt' or 'zip'

File name examples include:

DA_100001_P_278_M_011404.001.txt
DA_100001_T_837P_C_011404.001.txt
DA_100001_P_NCPD_E_011404_001.txt
DA_100001_P_837P_E_011404_001.txt
DA_100001_P_837P_E_011404_002.txt

The files may be zipped or submitted as text files at the submitter's discretion or preference.

5.2 DES Acute Care Plans Specific

Certain requirements are the same for each of these plans because these plans utilize the same health care claims payment system and HIPAA transaction translator.

File Size Limits

HIPAA recommendations for the maximum file size of each transaction set are specified in the Implementation Guide and authorized Addenda. However, the maximum file size supported by the DES Acute Care Plans' HIPAA translation solution is 7MB.

5.3 DDD Long Term Care Specific

Under construction

6.0 Transaction Processing and Acknowledgments

DES will take every measure to see that submitted compliant transactions are processed completely and responded to appropriately. As described in **Section 3**, DES will transmit responses for secure pick-up by registered Trading Partners through the Internet site.

Upon receipt of a file, DES processing steps are:

1. Validation of pre-processing edits, such as:
 - File name convention not met, and
 - TPIN in file name does not match that in the transaction envelope.

Files that do not meet the criteria of the pre-processing edits will be rejected in their entirety and an error report will be available for pick-up by the submitter.

2. Archival of a copy of the X12 file.
3. Drop off of the file for translation.
4. Syntactical validation of the file against the HIPAA compliant X12 schema for the specific transaction.

Files that do not meet the syntax validation will be rejected in their entirety and a 997 acknowledgment indicating the failure will be transmitted for pick-up by the submitter.

Files that do meet the syntax validation will be processed and a 997 acknowledgment indicating receipt will be transmitted for pick-up by the submitter.

5. Processing of the compliant transactions to the destination system.
6. Transmission of the applicable response transaction.

271 and 277 transactions are generated as immediate responses to processing of the 270 and 276 transactions, respectively.

Two 278 response transactions can be provided. An immediate response will be provided upon acceptance of a 278 request. A second response may be provided following DES plan staff review of, and action on, the 278 request. The second response can provide the results, such as approval or denial, of the review.

The 835 remittance advice transaction is, effectively, the response to the submission of an 837 claim for payment. Receipt of an 835 remittance advice does not require submission of 837 claims. Likewise, submission of 837 claims does not require the receipt of an 835 remittance advice. In any event, the 835 will not be generated and transmitted until after adjudication of the claim and processing the claim to a final status (i.e., payment or denial)

7.0 Technical Assistance and Help

DES wishes to take every measure to assist organizations with registration and testing, as well as assist registered Trading Partners to ensure electronic business is transacted efficiently and effectively. A team of professionals is diligently working to implement and maintain efficient and accurate transaction processing.

Requests for assistance, questions and issues should be initiated by an Email to: DESHIPAAATCS@azdes.com. Emails will be monitored from, at minimum, 8:00 am to 5:00 pm, Monday through Friday.

Attachments - Companion Transaction Specifications

Companion transaction specifications and envelope specifications should be downloaded separately from WWW.DES.azdes.gov . Only the specifications that apply need to be downloaded.